



Strategic Planning Guide for CRVS

Strategic Planning Guide for Civil Registration and Vital Statistics

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Contents

	Page
I. Introduction	3
II. Strategy management process model	3
III. Phase 1: Strategy analysis	6
IV. Phase 2: Strategy formulation	25
V. Phase 3: Strategy implementation	30
VI. Phase 4: Strategy review	33

Figures

Figure 1	Stakeholder analysis matrix	15
Figure 2	Environmental scan – political, economic, social, technological, environmental and legal (PESTEL)	16

Tables

Table 1	Strategy management process model	3
Table 2	SWOT (strengths, weaknesses, opportunities, threats) matrix	20
Table 3	Strategies developed from SWOT analysis	21
Table 4	Strategies captured from SWOT analysis	22
Table 5	Criteria for prioritization and scores	23

Annexes

Annex A	Civil registration and vital statistics value chain	37
Annex B	Strategy map for civil registration and vital statistics	38
Annex C	Template for a strategic plan	39
Annex D	Template for a work programme	43
Annex E	Template for quarterly and annual reporting	47

I. Introduction

The present strategic planning guide has been compiled to assist countries with the development of a civil registration and vital statistics (CRVS) strategic plan and work programme following a comprehensive assessment process.

A strategic management process model is proposed that outlines four distinct phases, namely: (i) strategy analysis; (ii) strategy formulation; (iii) strategy implementation; and (iv) strategy review.

The guide outlines the processes and steps to be followed, together with supportive templates to be completed in each phase. The strategy development process includes the comprehensive assessment process as a key step in understanding the CRVS environment. It also draws on the prioritization matrix developed by the University of Queensland, Australia (Health Information Systems Knowledge Hub - HIS Hub). Detailed operational planning and budgeting processes and templates are not included as part of the guide.

This guide is supported by a facilitator's guide that will enable national managers, experts or facilitators to steer the strategy development process.

II. Strategy management process model

The crafting of a strategy is an art and is dependent on a variety of knowledge and skills in different areas. While the selection of the strategy is a skill, it is important that it be governed by a systematic process to ensure that all issues which might have an influence on the future state of the programme and organization are carefully examined and considered. Table 1 is a summary of the strategy management process model.

Table 1
Strategy management process model

Phases	Objective	High-level activities
PHASE I: STRATEGY ANALYSIS	To clearly identify the business we are interested in and what issues we have to address in order to get the business going; or, if the business already exists, the issues we need to address to take corrective action.	(a) Setting the direction. (b) Setting strategic goals. (c) Strategic analysis of the CRVS system.
a) Setting the direction <i>What business are we in, and why.</i>	To re-affirm the organizational purpose and conduct.	Step 1: Reviewing or developing a mission statement. Step 2: Reviewing or developing a vision statement. Step 3: Reviewing or defining core values.
b) Setting strategic outcomes and goals <i>Where are we going?</i>	To clearly define the highest level of goals and outcomes that will drive the strategy.	Step 1: Define strategic outcomes. Step 2: Develop long-term strategic goals.

<p>c) Strategic analysis of the current environment</p> <p>Where are we now?</p> <p>What are our key issues?</p>	<p>To identify, through structured analysis, the events, forces, processes and experiences that impact and modify the strategy.</p>	<p>Conduct environmental scan</p> <p>Step 1: Develop a CRVS value chain (conceptual view of the current process).</p> <p>Step 2: Scan or review the CRVS environment</p> <ul style="list-style-type: none"> • Stakeholder analysis • External environmental analysis. <p>Step 3: Conduct assessments</p> <ul style="list-style-type: none"> • Rapid assessment • Comprehensive assessment: • Identification of weaknesses and problems • Assess past and present performances • Consult stakeholders • Conduct field visits • Consolidate information and identify problems. <p>Step 4: Analyse and translate information</p> <ul style="list-style-type: none"> • Arrange information from the assessment into a SWOT¹ matrix. <p>Step 5: Prioritize information.</p> <p>Step 6: Define problem statement and strategic shift.</p>
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Phases	Objective	High-level activities
<p>PHASE II:</p> <p>STRATEGY FORMULATION</p> <p>How do we get there?</p>	<p>To define where and how the organization will respond.</p>	<p>Step 1: Develop or review value chain of the TO-BE process).</p> <p>Step 2: Develop strategic objectives.</p> <p>Step 3: Develop subobjectives.</p> <p>Step 4: Compile a strategy map.</p> <p>Step 5: Define the strategic intent.</p> <p>Step 6: Identify critical success factors.</p> <p>Step 7: Identify strategic risks.</p> <p>Step 8: Identify or develop strategic interventions.</p>

¹ SWOT: strengths, weaknesses, external opportunities and threats.

<p>PHASE III:</p> <p>STRATEGY IMPLEMENTATION</p> <p>Can we do it?</p> <p>Do we have the resources and capability?</p>	<p>To define the strategic, business and operational plans and targets to implement the strategy.</p> <p>To implement and manage the strategy.</p>	<p>Step 1: Set the direction (Compile CRVS national strategic plan).²</p> <p>Step 2: Translate the strategy into action (Compile CRVS national work programme).³</p> <ul style="list-style-type: none"> • Define body of work, method of work, and organization of work • Operationalize the strategy • Manage strategic change.
<p>PHASE IV:</p> <p>STRATEGY REVIEW</p> <p>How have we performed?</p> <p>What is the progress?</p>	<p>To monitor and report the progress, achievements and challenges in the programme.</p> <p>To take corrective action where required.</p> <p>To evaluate the impact of changes and improvements.</p>	<p>Monitoring and evaluation plan:</p> <p>Step 1: Monitoring and reporting</p> <ul style="list-style-type: none"> • Quarterly reporting • Annual reporting • End-of-term reporting. <p>Step 2: Evaluation (Independent evaluation of the implementation of the strategy.</p>

III. Phase I: Strategy analysis

Strategy analysis is about ascertaining what the business of interest is in terms of the issues to be addressed in order to get the business going; or, if the business already exists, the issues that need to be addressed in order to take corrective action or chart a new direction. The APAI-CRVS⁴ is about charting a new direction for CRVS in Africa.

It seeks to change the organizational setup from a practice in which parts of the CRVS are produced in isolation (and are therefore lopsided, are of a less-than-desirable quality, and are of inadequate coverage), to a setup that is systemic, holistic, comprehensive and coordinated.

Strategy analysis consists of three subphases:

- **Setting the direction for the CRVS system** - with the objective of reaffirming its purpose and the way it should conduct its business. Direction setting deals with three main questions:
 - What is the business of the CRVS institutions?
 - What do the CRVS institutions want to become?
 - What are the principles or values that will guide the production of CRVS going to be?
- **Setting strategic goals for the CRVS system** - by way of outlining what the system aims to achieve in terms of defining its highest goals and outcomes.
- **Strategic analysis of the CRVS system** - by defining its current status or situation and identifying the key issues that need to be addressed. The subphase we identify through structured analysis - the events, forces, processes and experiences that impact and modify the strategy.

²A generic template for a strategic plan is provided – see Annex C.

³A generic template for a work programme is provided – see Annex D.

⁴ APAI-CRVS: Africa Programme on Accelerated Improvement of Civil Registration and Vital Statistics.

A. Setting the direction for the civil registration and vital statistics system

At a structured and detailed level, this subphase includes three steps:

- Step 1: Reviewing or developing a mission statement for the CRVS system;
- Step 2: Reviewing or developing a vision statement for the CRVS system; and
- Step 3: Reviewing or defining core values for the CVRS system.

Reviewing or developing a mission statement, a vision statement, and a statement of values is also known as **envisioning**. Briefly, envisioning is an essential element of strategic planning because it establishes the direction of and the means for growth of an organization or system. The roles of the vision, mission and values in furthering the development and growth of an organization or system include the following:

- The standard three statements – **vision**, **mission** and **values** – should be continuously communicated to both internal and external stakeholders (with extra emphasis on internal stakeholders) in such a way that they can easily remember them and apply them to their daily work.
- They should be assimilated into the culture of the CRVS system through internal and external dialogue.
- They should also be acknowledged as tools for leadership and organizational change.
- Finally, they should be used to motivate and inspire staff.

If a CRVS system is being set up for the first time, a vision statement would be formulated before a mission statement. The vision statement would then guide the mission statement and the rest of the strategic plan. However, now that CRVS systems are already in place, and that the APAI-CRVS is intended to transform them from ad hoc activities to systems, it is best to start with formulating the mission statement as its essence has already been provided in the APAI-CRVS.

Step 1: Reviewing or developing a mission statement for the civil registration and vital statistics system

Reviewing or developing a **mission** precedes a **mission statement**. It is the mission statement rather than the mission which is included in the strategic plan because of its brevity. But the process of reviewing or developing a mission statement begins with reviewing or developing a mission.

Mission: A mission is a summary of the core business or purpose for existence of an organization or system for both internal and external stakeholders and the public. A mission for the CRVS system will define the fundamental purpose of the system, succinctly describing why it should exist and what has to be done to achieve the vision of the system. It answers the question(s) - Why do we exist? What is our core business? or What do we do that makes us unique?

A summary of the core business of the strategy assumes that the national leadership team and key stakeholders are in agreement on: what the strategy should achieve; who the stakeholders are; and what domains of registration and statistical production are to be covered; what products will be produced for each domain; how the products will be produced; and what

value the products will add to stakeholder demand that cannot be provided by competitors⁵, etc. The mission for the CRVS system should be based on national legislation (if it exists) on CRVS.

It is important to be clear about the mission for the CRVS system strategy. The mission is more than registration of vital events and the resulting vital statistics per se; it is about transforming the prevalent ad hoc and lopsided way of organizing civil registration to a holistic and comprehensive systemized organization. The mission should be pertaining to what the systemic organization is about and what it will achieve.

Mission statement: The mission statement should suggest the way to successfully achieve the vision of the CRVS system. The length of the statement varies among organizations. Ideally, the statement should be a concise one- or two-sentence declaration defining the sole purpose of the CRVS system. Each CRVS system should have a mission statement both to provide a context for planning and to ensure that everyone knows where they fit into the system, and what direction the system aims to take. The statement should also define what makes the CRVS system unique.

For baseline information, the mission statement should contain the following information:

- Purpose, aim(s) or overall goal of the system – the opportunities or needs that the CRVS system is intended to address (for example, to transform the ad hoc and lopsided registration activities into a holistic and comprehensive system of activities);
- What the CRVS system will do to address those needs – the business of the system;
- Key stakeholders or key clientele (users, producers, suppliers, investors);
- Contribution or actions of the CRVS system and the value they will add to the stakeholders (for example, to improve coverage, quality and timeliness);
- What makes the products of the CRVS system unique or distinct from similar products from other sources such that stakeholders will opt for the system’s products;
- Beliefs or principles that will guide the work of the system – values of the system.

Step 2: Reviewing or developing a vision statement for the civil registration and vital statistics system

In the same way a mission precedes a mission statement, a vision also precedes a vision statement.

Vision: A vision for the CRVS system will define the desired future state of the system and its products. It is a compelling, clear image of the desired future of the system, and requires “big picture” thinking. It is also an answer to the question - Where do we want to go? or What do we want to become in the long term? It should give a picture of what the system should be years from now. Taking into account the current state of the system, the vision should therefore identify the direction which the system should take into the future.

If a strategic plan for the CRVS is to be effectively implemented it has to be communally owned by participants in the CRVS system. There has to be a buy-in or commitment from all elements in the system. Development of a vision is therefore essential to ensure that everyone is working towards the same future for the system. Accordingly, it is important to spend some

⁵ There might be situations, as is the case in the Republic of South Africa, where non-governmental agencies produce vital statistics in competition with the statutory national agency such as the national statistics office.

time together sharing views and developing consensus on the system's vision. The aim of the visioning exercise is to:

- Rally participants to see and own what they are working towards;
- Inspire participants to develop and share creative ideas however divergent they may seem;
- Encourage team building through honest debate on areas which they agree and disagree on in order to build consensus;
- Decide through honest discussion what the system will or will not do;
- Work together to entrench a new organizational paradigm towards shared goals.

It would be advisable to align the vision of the strategy with that of a national development plan, if such a plan exists. Ideally the plan should be a driver of the latter. The issue to address is what the system is intended to achieve.

Vision development should take into account budget implications, the client base, capacity issues (especially staffing levels), programme domains, and impact on society, among others.

Vision statement: A vision statement should capture the reasons why the vision is needed in the first place; what its objective is; and who is being targeted by it. Each CRVS system should have a vision statement, which should be clear, straightforward and concise. Ideally, it should be a brief one- or two-sentence description of what the currently fragmented and lopsided system is to become as a result of the APAI-CRVS initiative.

A vision statement should include the main goal of the system without indicating how to achieve the goal. It will take cognizance of the current state of the system and then point out the direction where the system should go. This necessitates taking into consideration the external scan and assessment of the system. It might include the following, among others:

- Meeting user needs⁶
- Producing vital statistics of good quality
- Developing registration and statistical capacity
- Coordinating the CRVS system.

Step 3: Reviewing or defining core values for the civil registration and vital statistics system

Values play the same role in the statement of values as the mission and vision in their corresponding statements.

Values: Values are the fundamental principles of the CRVS system that will guide the behaviour of those involved; and are shared among stakeholders. They will stipulate how the system will handle its business affairs.

There is a strong causal association between corporate values and corporate culture. In fact, corporate values are often used interchangeably with corporate culture. They create and drive

⁶ For example, see Annex 1 in the Africa Programme on Accelerated Improvement of Civil Registration and Vital Statistics document on the Second Conference of African Ministers Responsible for Civil Registration, Durban, the Republic of South Africa, 3-7 September 2012. Available from http://www.uneca.org/sites/default/files/page_attachments/apai_crvs_23-august-final-formatted.pdf.

a culture for strategy and provide a framework within which decisions are made. For example, values will affect how the strategy is managed by defining expectations regarding relationships among the people involved with the strategy. Culture, as a manifest pattern of behaviour, is a function of values and the environment; and it influences individual behaviour. Culture gives personality to the organization by answering the question - How do we do things around here?

Shared values guide organization members in terms of how to approach their work and deal with each other and their customers. They control how members interact with each other and with their stakeholders. They define members' world view or reality, manifested as customs and habits. It is easier to change other attributes of an organization (such as structure) than culture. Thus, values play the biggest role regarding whether an organization succeeds.

APAI-CRVS is about a change of paradigm in its approach to civil registration and its use, as well as production and use of vital statistics. The existing paradigm is characterized by fragmentation and lop-sidedness in registration of vital events whereas the proposed paradigm is characterized by a holistic and systemic approach. Therefore, APAI-CRVS is about change in management which, in turn, is about change in corporate values of individual members in the CRVS system.

Values for the CRVS system should be used as drivers of change, aiming to preserve what is good in the existing culture of the system and individual CRVS institutions, and to change those aspects of the existing culture that do not support the CRVS system. This requires an analysis of the existing culture in order to determine what to or not to change in order to inculcate a new work ethic supportive of the CRVS improvement strategy. A performance-based value system which is in keeping with the principle of managing for results should be promoted. This includes ICT⁷-asset maintenance in the system of values to avoid out-datedness and wastage that appear to be prevalent in civil registration and statistical agencies.

A set of values to be internalized by stakeholders should be defined in order to: regulate behaviour through setting behavioural boundaries (*what* to or not to do, *when* to or not to do it, and *why*); promote norms (how people should behave), beliefs or ideas in terms of shared views of reality in order to rationalize reality (e.g. a system's self-view of "being the best"), system identity symbols (language, jargon, and artefacts such as logos); and to give a sense of identity for staff of the system.

Statement of values: A statement of values should be developed for the CRVS system as well as for its individual constituent institutions. Institutional value statements should be unequivocally aligned with the system's value statement. The system's value statements should articulate what the system stands for, what it believes in, and what guides its behaviour and decision-making.

Defining and implementing corporate values appears to be the weakest part of corporate envisioning practices. Not only do they tend to sound like slogans, they are hardly ever internalized by staff. Values have to be internalized by employees in order for an organization to be effective, and that rarely happens.

Developing statements of values should involve all staff of key stakeholders. They should be continuously communicated so that they are internalized in order to become corporate social norms and shared values. The statement of values should be basic, and should form a foundation of corporate culture and character. It should be enduring such that the values expressed in the statement, outlasts any vicissitudes of the system.

⁷ ICT: information, communication and technology.

Statements of values are not about the prevailing business circumstances. They are about the people inside the system and thus have philosophical, moral or ethical underpinnings. Values are intended to drive the people in the organization, not the business of the organization. Accordingly, every staff member should align his or her personal values to organizational values. Incorporation of value statements into staff performance appraisal systems would be recommended. Value statements should be institutionalized into the system's culture that will stipulate how the system will handle its business affairs.

B. Setting strategic outcomes and goals for the civil registration and vital statistics system

Strategic outcomes, goals and objectives drive a strategy. For the purpose of this document, strategic outcomes and goals are defined as part of the **strategy analysis** phase, while developing strategic objectives form part of the **strategy formulation** phase. This subphase includes two steps:

- Definition of strategic outcomes; and
- Development of long-term strategic goals and objectives.

Step 1: Define strategic outcomes

Strategy formulation should hinge upon a set of clearly defined outcomes from the CRVS system. An outcome is a change in the status of a beneficiary resulting, wholly or in part, from a strategy, plan or programme. It is stated in the present tense. An example of an outcome of the CRVS system may be stated as - “Improved provision of public administration services”.

The outcome or result achieved through the use of an output may be positive (desired or intended) or negative (unintended or unexpected). So, to minimize the risk of negative outcomes, strategic outcomes must be carefully defined before formulation of the strategy. The efficacy of an outcome is established through measurement of its impact on beneficiaries by means of a few outcomes or impact indicators. An outcomes indicator of the outcome example given above could be - “The proportional increase (change) in the number of national identity documents issued (within a specified time period such as a year)”.

A strategy driven by outcomes means ‘planning backwards’ from the outcome we desire through how best to achieve it. This underscores the strategic importance of defining the desired outcomes from the CRVS system before embarking on strategy development in the strategic planning process. From outcomes we should work out pertinent outputs and then figure out the activities that will yield the outputs, followed by the resources needed to achieve the activities.

Step 2: Develop long-term strategic goals

Note: Goals and objectives tend to have interchangeable meanings depending on context or who is using them. It is therefore very important for stakeholders to agree to a specific definition for each of them. What is important is consistency of definition(s) and application.

For the purpose of this guide, a strategic goal(s) may be defined as the desired result the proposed CRVS system aims to achieve from a strategic set of issues or from developing a strategy for the system. The goal(s) is where we want the system to be in the long term. Oftentimes a strategic goal(s) is general in nature such that it is expressed in non-technical qualitative rather than quantitative terms. For example, a goal for the CRVS system might be - “To achieve complete registration of births, deaths, marriages and divorces”.

The management team should define the value gap, i.e. the difference between what you wish for and reality. Filling the gap becomes the strategic goal(s).

C. Strategic analysis of the current environment

Analysing the current environment is an important step towards defining a future state in any organization or system. This step is essential in providing the evidence base from the existing available sources to inform the development of the strategy. Analysis of the situation will enable the development challenges to be identified, the strategy and its objectives to be defined, and the development priorities agreed.

The following six steps can be followed to assess and analyse the current environment that forms the baseline to develop a strategic direction.

1. Develop a civil registration and vital statistics value chain

A value chain is a mapping in a logical sequence of a series of activities that constitute the business of an organization or system. Interactivity linkages may be flows of (qualitative or quantitative) information, physical products, services, even systems or processes depending on the scale of analysis of the organization or system. Preceding activities generate input into succeeding activities until the final product or output. The linkages are about seamless cooperation and information flow between the value-chain activities.

Value-chain analysis describes the activities within and around an organization and identifies where the value is added. The analysis evaluates the value each particular activity adds to the organization's products or services. In other words, it depicts how customer value accumulates along a chain of activities that lead to an end product or service. It consists of identification of the activities required to research and develop, design, produce, market, deliver, and support its product.

Further, it is a continuous process of gathering, evaluating, and communicating information for business decision-making. Proper management of individual activities and their interlinkages add value to the final product or service, giving the organization a competitive advantage over others in the same business. Therefore, organizational efficiencies are realized at activity and interactivity linkages. In Government and other not-for-profit organizations, the added value is increased value in services to users.

Value-chain analysis for assessing a current situation is an integral part of the strategic planning process. This strategic planning guide proposes the development of a value chain for the CRVS system. The main purpose is to break down the CRVS into strategic relevant pieces in order to see a more complete picture of the key role players, and how inputs are transformed into the outputs relevant to the needs of users. The value chain should consist of the following:

- Inputs (what we use to do the work);
- Processes (what we do);
- Outputs (what we produce or deliver); and
- Outcomes (what we wish to achieve).

The objectives of a value-chain analysis of the CRVS system are:

- To define and describe civil registration and vital statistical processes in a coherent way;
- To standardize process terminology for comparison purposes;
- To compare or benchmark processes within and between institutions;
- To identify synergies between processes; and
- To inform decisions on systems architectures and organization of resources.

An illustration is provided in Annex A.

2. Scan or review the civil registration and vital statistics environment

This step involves:

- Conducting a stakeholder analysis; and
- Identifying what forces in the external environment create or drive change.

Stakeholder analysis

Stakeholders are the individuals, groups and institutions that will be positively or negatively impacted by the CRVS system, on the one hand, or will affect the outcome of the system, on the other. In either case, stakeholders will affect the success of the system. Accordingly, a stakeholder analysis should be conducted as part of the CRVS system environment.

The CRVS system is a Government-sponsored ‘project’ or programme. One of the weaknesses of Government programmes is poor delivery and the associated unsanctioned lack of accountability of programme managers, which is in part due to inadequate participation of stakeholders, including the Government itself. Thus, for the CRVS system to succeed, it will have to promote active participation of key stakeholders.

There are several benefits that should accrue to the CRVS system as a result of stakeholder analysis and involvement, namely:

- Information critical to decision-making and operations (such as official remit, stakeholder needs, capacity or resources needed, etc.), made available and used in planning and management of the CRVS system;
- Reduction of unhelpful competition from public institutions and the private sector;
- Transparency of system processes and products; and
- Public trust.

There are various techniques for doing a stakeholder analysis - stakeholder analysis matrix, Venn diagrams of relationships, spider diagrams, mind maps, etc. Irrespective of the technique, there are standard steps that should be included in the analysis:

- Identification of key stakeholders – potential beneficiaries, system supporters and opponents, closely knit relationships, etc.
- Assessment of stakeholder interests and how they might be impacted by the system – stakeholder expectations, benefits, likely benefits, resource contributions, etc.

- Assessment of stakeholder influence and importance – power and status (political, social, economic), stakeholder control over strategic resources (e.g. Government), networking (personal connections), and stakeholder importance relative to the system.
- Development of a stakeholder participation strategy – stakeholder interests, importance and influence.

Stakeholder analysis should assist in prioritizing stakeholder involvement; that is, with deciding on which stakeholder to approach in what order and at what stage in the development of the system. Stakeholder prioritization begins with a stakeholder register with the following or similar information: stakeholder name, designation, agency, and role in project; and type of stakeholder, type of communication (one-way information sharing, two-way consultation, and collaborative or shared decision-making), expectations, interests and influence on project outcome. The prioritization is done on the basis of importance and influence. Figure 1 is a simplistic but illustrative example of one of the stakeholder analysis techniques.

Figure 1: **Stakeholder analysis matrix.**

Influence ↑	Low importance High influence [Not main target but could oppose system; so keep them informed and acknowledge their views]	High importance High influence [Keep closely involved throughout system development and implementation to ensure support]
	Low importance Low influence [No special participation strategies required; share information with the general public]	High importance Low influence [Special effort to ensure their needs are met and their participation meaningful]
	Importance →	

The matrix indicates the most important and influential stakeholders (upper left-hand corner), and the least important and least influential stakeholders (lower right-hand corner). The most important and most influential group should be consulted first while the least important and least influential group should not be given special consideration. In practical situations the importance and influence axes have more categories than the two shown in the table; accordingly, stakeholder prioritization is much more involved.

Stakeholder participation may take the form of workshops, surveys or consultations with collaborative organizations.

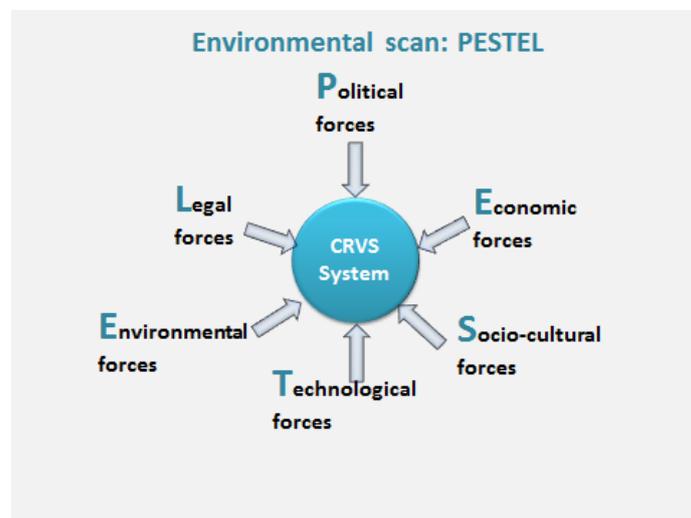
External environmental analysis

An organization's performance of a system is influenced by both its external context, generally known as the external environment, and its internal context, known as the internal environment. Forces in the external environment that influences the system are usually beyond the system's control. However, it is to the advantage of the system to be aware of

these external forces so as to be able to take measures to minimize the risks associated with their impacts. Risk minimization measures would involve positively aligning the system’s strategy with the forces of change, thereby taking advantage of working with the change rather than being ignorant of it or resisting it.

Analysis of the external environment is about understanding the “big picture” (characterized by forces of change) within which the system operates. Ideally the analysis should take place before the system is established, and should remain a continuous source of planning information. Analysis of the external environment is often undertaken using one of the tools in the PEST toolkit. PEST stands for the **political, economic, social and technological** forces in the environment. The tool from the PEST toolkit that is recommended for the scan or review of the CRVS system is called PESTEL, which stands for the **political, economic, social, technological, environmental and legal** forces in the environment (as indicated in figure 2).

Figure 2: **Environmental scan: PESTEL**



The following example is a skeletal illustration of the kind of information that can be garnered under each of the six forces.	
Political forces:	Is there a political champion for the CRVS system?
Economic forces:	What effect does the current economic recession have on CRVS funding?
Sociocultural forces:	Are there sociocultural constraints to timely registration of births, such as naming a baby only after it is able to sit?
Technological forces:	Can vital events be electronically captured in rural areas?
Environmental forces:	Do weather changes affect the timeliness of registration of births?
Legal forces:	Is there legal compulsion for registration of vital events?
PESTEL analysis gives useful results in terms of opportunities and threats, thereby providing a link with SWOT analysis although the two tools focus on different areas. PESTEL focuses on big-picture factors that may even hinder the establishment of a business whereas, as shall	

later be illustrated, SWOT operates at a business or product level when the system is already in existence. A PESTEL analysis would be particularly useful for CRVS institutions which are operating in silos⁸ and therefore too inward-looking.

3. Conduct assessments

Besides establishing how the major activities of the CRVS process are sequenced to add value to CRVS as a product (value chain), understanding stakeholder participation (stakeholder analysis) as well as the external environmental forces with the potential to create opportunities or threats for the CRVS system (PESTEL), the next logical step is to undertake an assessment of the system. The aim of the assessment is to identify the factors that will impact the development and implementation of the system in order to strengthen the system by addressing those that will get in its way. The assessment consists of:

- Rapid assessment
- Comprehensive assessment:
 - Assessment tool
 - Assessment of past and present performance
 - Field visits.
- Consolidation of the information collected to identify problem areas.

Rapid assessment of the civil registration and vital statistics system

There are three functions a rapid assessment of the CRVS system is expected to perform:

- To provide a general overview of how the system is functioning – adequately or inadequately. The assessment should identify the strengths and weaknesses of the system, which should supplement the findings of the PESTEL analysis. The difference between the findings of the PESTEL analysis and those of the rapid assessment is the area of focus. PESTEL analysis focuses on the external environment of the system whereas the rapid assessment focuses on the internal workings of the system.
- To provide information for use in advocating support with regard to strengthening the CRVS from the Government and other stakeholders. Points of emphasis should be: (i) to raise the profile of CRVS given that existing national statistical programmes (such as the National Strategy for the Development of Statistics) do not address CRVS issues substantively; and (ii) to get all stakeholders to appreciate and realize the multi-sectoral and multidisciplinary nature of CRVS so that they agree to take a more holistic approach in their effort to strengthen the systems.
- To make a case for a comprehensive assessment, that is, whether or not it is needed. The rapid assessment should be used to make a case to Government to improve the CRVS system by first undertaking a comprehensive assessment.

⁸ Silos - definition: An attitude found in some organizations that occurs when several departments or groups do not want to share information or knowledge with other individuals in the same company. A silo mentality reduces efficiency and can be a contributing factor to a failing corporate culture. Taken from <http://www.investopedia.com/terms/s/silo-mentality.asp>.

A rapid assessment tool consisting of ten areas and 25 questions is already available, as well as the process for its implementation.

Comprehensive assessment

The aim of the APAI-CRVS⁹ is to strengthen country CRVS systems in order for them to perform at a significantly higher level of productivity and efficiency than they have done in more than half a century of their existence. Once advocacy (informed by the results of the rapid assessment) has taken effect, strengthening of the systems will require a country to take stock of the CRVS system in its entirety in order to identify strengths and weaknesses (bottlenecks), as well as lessons on what has or has not worked, through conducting a comprehensive assessment.

Specifically, a comprehensive assessment is a systematic in-depth review of the components of the country's entire CRVS system. It is expected to take a fresh look at the operations and challenges of the existing system. Its overall goal is to generate information, knowledge and understanding of the existing CRVS system on which a viable programme for strengthening the system can be devised.

The overall objective is to provide baseline information and guiding principles for a strategic plan to improve the country's CRVS system. The strategic or improvement plan is expected to promote greater efficiencies, better coverage, greater completeness, and outputs of better quality; and thus more effective outcomes.

The comprehensive assessment may be undertaken in the following stages:

- Identification of weaknesses and problems through the utilization of a standardized assessment tool (questionnaire);
- Assessment of past and present performances;
- Stakeholder involvement;
- Field visits; and
- Consolidate information.

The comprehensive assessment is best carried out by a small number of subgroups, each focusing on a specific aspect of the CRVS system. A "results" meeting brings the various groups together to present and discuss their findings.

Assess past and present performance

As the objective of the APAI-CRVS is to strengthen existing CRVS systems, the assessment has to build on what already exists, and what has already been done in terms of programmes and interventions, even if they are narrow and lopsided. Past experience should inform the review as well as provide lessons about what worked and did not work. The lessons should influence the direction of the strengthening process.

Consult stakeholders

By its nature, the CRVS system consists of several sectors involving different players. One part of it works with the registration of vital events; another part works on vital statistics. Within each of these parts there are subsections such as births, deaths, migration, marriages and divorces within civil registration. The assessment should therefore harness the expertise

⁹ APAI-CRVS: Africa programme on accelerated improvement of civil registration vital statistics.

and experience of stakeholders from these sections, and bear on the assessment. The assessment should include consultations with stakeholders throughout its duration.

Conduct field visits

The essence of field visits as an integral part of the comprehensive assessment process lies in the arrangements of the assessment of institutions, the organizational setup throughout the administrative (national and subnational) geography of the country, the links with other institutions, and the flow of registration forms and products. Field visits are about undertaking diagnostics of the registration and vital statistics processes. The diagnostics would cover identification of the relative strengths of institutions at the different levels, record-keeping practices, hiccups in the flow of records, incompleteness of records, what strategies are working - where, how and why? They would also cover the public's experience with the registration services.

One of the goals of field visits is to also elicit examples of initiatives undertaken by communities or local institutions to improve their registration services. It would also be important, through field visits, to gauge the perception of the public with regard to the difficulties they face in obtaining the registration services.

Consolidate information and identify problems

The assessment process should end with analysis of the information collected; its aggregation and identification of problem areas (underlying causes) to be translated into relatively few problems or weaknesses for prioritization.

4. Analyse and translate information

The comprehensive assessment is an assessment of the factors in the external and internal environment of the CRVS system that positively or negatively impact the system. Once the assessment data or information has been gathered, the next task is to sort or organize it into a series of logical sections, to analyse it, to identify any gaps to fill, and to draw relevant key points.

One of the conventional approaches to assessing organizational environmental factors is to assess both the internal strengths and weaknesses, and the external opportunities and threats of the organization. This document proposes the use of a SWOT analysis to arrange and organize the information from the assessment. The objective is twofold: (i) to build upon the internal strength and to remove the weaknesses of the CRVS system; and (ii) to exploit the opportunities and to defend against threats in the system's external environment.

Strengths and weaknesses are internal factors, things you can directly influence; opportunities and threats are external factors, which you have no control over but can seek to take advantage of and can address. Appraisal of the internal environment will examine all aspects of the system covering, for example, personnel, facilities, location, products and services, in order to identify the system's strengths and weaknesses. Appraisal of the external environment will scan the political, economic, social and technological environment with a view to identifying opportunities and threats.

The following steps need to be followed in analysing and translating assessment information into a SWOT framework (see table 2).

Step 1: Arrange information from the assessment into a SWOT matrix

Table 2
SWOT matrix

		POSITIVE		NEGATIVE	
		Strengths		Weaknesses	
INTERNAL ENVIRONMENT					
	1		1		
	2		2		
	3		3		
		
	...				
EXTERNAL ENVIRONMENT		Opportunities		Threats	
	1		1		
	2		2		
	3		3		
		
		

Step 2: Summarize, match and convert information from the SWOT matrix

SWOT analysis is more than listing the strengths, weaknesses, opportunities and threats. It is a technique of analysis intended to facilitate the formulation of strategy. Strategy should be devised around strengths and weaknesses, on the one hand, and strengths and opportunities, on the other, with more emphasis on the latter.

Summarize the “many” entries in the SWOT table into relatively fewer and manageable issues for which strategies need to be developed.

Match the strengths of the CRVS in two ways. First, match strengths and weaknesses. Oftentimes this step is overlooked in most SWOT analysis, but it is a step that should not be ignored as it does lead to identification of strategies. Second, match strengths to opportunities presented in the external environment. Strengths which do not match any available opportunity are of limited use. Opportunities which do not have any matching strengths, are of little immediate use. Unless the CRVS system can take advantage of the opportunities, it will be of little relevance.

Convert weaknesses into strengths. This is where matching strengths with weaknesses becomes relevant. Conversion addresses gaps by converting them into strengths. For example, technological weakness can be converted by investing in the latest technology; skills gaps can be converted by investing in training and skills development; high unit cost can be converted by exploring outsourcing of activities; low level of trust can be converted by developing an advocacy programme; low levels of productivity can be converted by redesigning or re-engineering the civil registration processes.

Convert threats into opportunities. Conversion responds pro-actively to dangers in the external environment. For example, the economic recession can be countered by identifying wastage and inefficiencies in the system; lack of political buy-in can be countered by developing an advocacy programme for the CRVS; and poverty can be countered by increasing accessibility to registration centres.

Step 3: Develop strategies

Capture strategies from matching weaknesses with strengths in the SWOT analysis (see tables 3 and 4).

Table 3
Strategies developed from SWOT analysis

<i>Internal Weaknesses</i>	<i>Internal Strengths</i>	<i>(Resulting) Strategy</i>
No linkages with Statistics Office	National and civil registration organically linked	Formalize linkages through legislation or policy
Coding causes of death	Qualified personnel ICT infrastructure in place	<ul style="list-style-type: none"> • Automate the coding of causes of death • Train civil registration staff in coding of death
Some civil registration offices are far away from people or citizens	Mobile registration in place	Expand mobile infrastructure to remote areas
Separate forms are used by Ministry of Health and civil registration for causes of death	Strong linkages between civil registration and Ministry of Health	Formalize linkages through legislation or policy

Table 4
Strategies captured from SWOT analysis

	<i>Internal strengths</i>	<i>Internal weaknesses</i>
<i>External opportunities</i>	Match: strengths and opportunity strategies Formulate a strategy to capitalize on these areas of the CRVS system	Match: weaknesses and opportunity strategies Formulate a strategy to improve these areas of the CRVS system
<i>External threats</i>	Match: strengths and threats strategies Formulate a strategy to monitor these areas of the CRVS system	Match: weaknesses and threats strategies Formulate a strategy to eliminate these activities

In summary:

- Strengths need to be maintained, built upon or leveraged.
- Weaknesses need to be remedied or stopped.
- Opportunities need to be prioritized and optimized.
- Threats need to be countered or minimized.

5. Prioritize information

The collective identification of problems, opportunities and their causes can lead to a long list of issues to be attended to. The aim of prioritization is to bring the different stakeholders' points of view together in order to try and reach an agreement on the main problems, opportunities and their causes, and their respective priority. This guide, therefore, proposes the use of a prioritization matrix developed by the World Health Organization (WHO) and the University of Queensland. For a detailed explanation, the document 'Strategic planning to strengthen civil registration and vital statistics systems' can be accessed at <http://www.uq.edu.au/hishub>.

The prioritization methodology is summarized below:

Scoring

Evaluate and score information resulting from the SWOT analysis according to four criteria - urgency, feasibility, cost and timeline. These criteria are defined as follows:

- Urgency: the extent to which the recommendation is considered to be critical at that moment and needs to be implemented urgently;
- Feasibility: the ease with which the recommendation could be implemented, given departmental roles and responsibilities in Government, or cultural traditions;
- Cost: the expected cost associated with implementing the recommendation and the likelihood of obtaining funding from different internal and external sources; and
- Timeline: the period required for full implementation of the recommendation.

Four scenarios are provided for each criterion as shown in table 5 below. Scenarios are then scored from 1 to 4 depending on the perceived urgency, feasibility, cost and time frame with the highest priority score being 4 and the lowest 1. Scores across the four criteria are then summed, giving a summary score for each recommended improvement goal. The higher the score, the higher the priority should be given to implementing the recommendation. The four criteria were chosen to reflect the critical dimensions of any deliberative process that countries are likely to follow to decide upon the relative priority of recommendations.

The expected impact must be noted beside each issue. For simplicity, we suggest that only a qualitative scoring system of HIGH, MEDIUM and LOW impact be used.

Table 5

Criteria for prioritization and scores

Criteria	Scores	Scenarios
Urgency	4	Must start immediately
	3	Could be delayed for up to 6 months
	2	Could be delayed for up to 2 years
	1	Could be delayed until able to be done
Feasibility	4	Necessary action can be decided at the departmental level
	3	Require interdepartmental agreement
	2	Requires legislation change
	1	Requires change in tradition, culture or policy
Cost	4	No cost implications
	3	Can be funded within current budget
	2	Need to apply for Government funding
	1	Need to find external resources
Timeline for completion	4	< 3 months
	3	3 months to a year
	2	1 – 5 years
	1	> More than 5 years
Impact	H	High
	M	Medium
	L	Low

Ranking

Once all listed issues have been evaluated for their impact and scored, they should finally be ranked in decreasing order within each of the three impact bands (HIGH, MEDIUM and LOW). In the case of a large number (i.e. 30 or more), it is further recommended that

countries reduce these by only considering those which score above a certain cut-off point, or alternatively, only focus on the HIGH impact ones.

6. Define the problem statement and strategic shift

The next step is to consolidate the key issues as listed in the SWOT and prioritized thereafter in a problem statement. This problem statement is a conceptual view of the systemic problems that exist, and what strategic shift or paradigm shift should occur.

The purpose of this step is to define what the problems are from a conceptual view and shifting from the current paradigm to a new paradigm. An example of the problem statement is that the current operations are happening in isolation instead of a system. The strategic shift can therefore be described as moving from production in isolation to production in a system.

IV. Phase II: Strategy formulation

Strategy formulation is about development of the actual plan.

A. Develop or review the value chain of the TO-BE process

In the strategy analysis phase, the value chain of the current process has been developed. In this phase, that value chain should be reviewed, omissions or weaknesses identified, and then redeveloped to indicate the desired state of the CRVS production process. This requires a review of the high-level process and subprocesses. The results of the SWOT analysis can be mapped onto the value chain to identify areas of concern. This activity will provide a conceptual view of the system and linkages; and highlight the changes required to reform the CRVS system.

B. Develop strategic objectives

Strategic objectives provide direction on what should be done to achieve the strategic goals, outcomes, mission and vision of the organization. All activities in the CRVS should be linked to a strategic objective, whether it is a new activity, an improvement initiative or maintaining the current status. Strategic objectives provide specific direction to the activities of the organization or system and form the foundation upon which decisions on actions are made.

They also provide the direction for everyone in the organization and the motivation for people to achieve them, especially if they are rewarded. Strategic objectives affect other aspects of management, for example, planning, organizing, leading, etc., and provide a benchmark for performance measurement, as well as a mechanism of control through the provision of corrective measures. Finally, strategic objectives form the basis of delegation of authority. Good objectives are helpful in effective delegation of authority.

The formulation of strategic objectives must:

- Provide direction to achieve the mission;
- Be based on the results of the SWOT analysis;

- Take into account the values held by management; and
- Be specific, **m** measurable, **a**chievable, **r**elevant, and **t**ime-bound (SMART).

An example of a strategic objective for the CRVS system is: “To achieve 90 per cent registration of births, deaths, marriages and divorces in two years”; or “To complete system integration in three years”.

C. Develop subobjectives

The development of subobjectives is critical in order to realize the strategic objectives. The summarized information from the assessment phase, as captured in the SWOT analysis, will be used as key pointers for developing them. The subobjectives need to be more specific and need to cover all areas of the system. Subobjectives also need to be SMART, but on a tactical level.

D. Compile a strategy map

This step proposes the compilation of a strategy map based on the [balanced scorecard](#) approach. The strategy map is a dynamic visual tool that describes and communicates the strategy. It facilitates a balanced approach to strategy formulation by ensuring that the strategic objectives cover all strategic aspects within the CRVS system. As the strategy map shows cause-and-effect relationships, it allows organizations to:

- Clarify strategies;
- Identify the key internal processes that drive strategic success;
- Align investments in people, technology and organizational capital for the greatest impact; and
- Expose gaps in the strategies and take early corrective action.

It is proposed that the strategy map is based on four perspectives according to the balanced scorecard approach for public sector organizations.¹⁰ The four perspectives are: the social impact perspective; stakeholder perspective; business process perspective; and investment in learning and growth perspective.

All strategy concepts developed to this point will be used to populate the strategy map. The map will be able to expose gaps in the strategy. Following the compilation of the strategy map, the strategic objectives and subobjectives will need to be revisited. It is important to note that strategy development is an iterative process.

An example of a strategy map is attached as Annex B.

E. Define the strategic intent

The key strategic intent aims to describe where you want to be and how you are going to get there. This section represents a description of the strategic change required over a period of time.

¹⁰ Kaplan, R. S. and D.P. Norton, *Strategy Maps: Converting intangible assets into tangible outcomes* (Boston Massachusetts, HBS Press, 2004).

Strategic intent envisions a desired leadership position and establishes the criterion the organization will use to chart its progress. It is a high-level description and statement of design for each strategic objective of the means by which the various stakeholders will achieve the vision - a desirable future stated in present terms. Every strategic objective should outline the strategic intent in the short, medium and long term by describing a desired end state and giving pointers of change on how to get there. The strategic intent defines the journey to the future. Expression of strategic intent is to help individuals and organizations share the common intention of the future through time and space. Strategic intent statements provide the following:

- **Sense of direction.** This includes an understanding about the long-term position that a system aims to build over the next decade. It is a view of the future that conveys a unifying sense of direction.
- **Sense of discovery.** Your strategic intent should retain a sense of discovery and excitement about the future.
- **Sense of destiny.** Strategic intent has an emotional edge to it and it should be a goal that stakeholders perceive as inherently worthwhile.

F. Identify critical success factors

Critical success factors are the essential areas of activity that must be performed well if you are to achieve the mission, objectives or goals for a project. By identifying your factors, you can create a common point of reference to help you direct and measure the success of your business or project. As a common point of reference, critical success factors help everyone in the team to know exactly what is most important. It also helps people to perform their own work in the right context and so pull together towards the same overall aims.

Critical success factors help ensure the project is well focused and avoid wasting effort and resources on less important areas. By making the factors explicit and communicating them with everyone involved, you can help keep the project on track towards common aims and goals.

When identifying the critical success factors, start with the mission, strategic goals and strategic objectives. Ask the question - What area or activity do we need to excel at that will ensure success in achieving this goal? These areas may relate to the industry (business of the system), the external environment or internal environment. Consider what is absolutely essential and select the most critical areas or activities listed to ensure focused attention. Once your critical success factors have been identified, it may be necessary to revisit your strategic goals and objectives.

In conclusion, critical success factors are areas or activities that should receive constant and careful attention from management towards achieving success.

G. Identify strategic risks

Strategies are hypotheses based upon a number of assumptions. Every single element of strategy can be influenced, to some extent, by uncertainty. While the concepts of risk and uncertainty commonly conjure images of what could go wrong, the idea of managing strategic risk includes consideration of seizing opportunities as they arise.

Risks can be externally based (what happens if disaster strikes the community?) or internal (what happens if a key statistician suddenly retires or a critical piece of technology fails?). These occurrences are usually unexpected and become a major distraction, preventing the entire organization from achieving the strategies planned.

Organizations that are faced with these realized risks may have to abandon strategies; ideally, they adapt and change the course of the originally developed strategies. The worst case scenario occurs when organizations forge ahead with strategies that are no longer appropriate simply because they appear on a strategic plan.

So how do you address these strategic risks and keep your organization on track? The answer is twofold. First, you must reduce uncertainty by identifying potential strategic risks and increasing organizational knowledge of these risks. Secondly, you can adapt performance improvement tools that help to create strategic alignment.

What are strategic risks, and how do you know where to look for them? What risks threaten the achievement of your vision?

Strategic risks take a variety of forms. Some are externally focused, some internally based, and some a combination of the two. In strategy formulation, the first step is to identify risks that will have the biggest impact and are most likely to occur. Compare these risks with each strategic objective to ensure that you have not missed a major area of concern. The second step is to prioritize the strategic risks according to those two criteria. Finally, develop mitigation strategies for each major risk, and identify the organization or stakeholder to be tasked with driving critical activities related to the strategic risk mitigation plan, for which they will be accountable.

H. Identify or develop strategic interventions

An important step in strategy formulation is to identify or develop strategic interventions in response to the issues and weaknesses that have been identified and prioritized.

The following template may be used to outline the strategies and interventions that respond to the issues:

Issue	Strategy	Intervention

In order to determine whether the intervention strategy is feasible, the following questions should be answered:

- **Economics:** Is the strategy financially feasible? Does it make economic sense to apply this strategy?
- **Acceptability:** Will the stakeholders and the community accept this strategy?
- **Resources:** Is funding likely to be available to apply this strategy? Are organizations able to?

- **Legality:** Do present laws allow the strategy to be implemented?
- **Barriers:** What are the potential barriers to implementation and success? What are the suggestions to overcome the barriers?

The following template should be completed to analyse the intervention strategies:

Intervention	Economics	Acceptability	Resources	Legality	Potential Barriers	Suggestions for overcoming barriers

The information in these templates will be used in the compilation of the strategic plan and work programme.

V. Phase III: Strategy implementation

Once compilation of the strategic plan has been completed, the next phase is to implement it. Successful implementation of the strategy will vindicate the resources and effort spent on developing the strategy; otherwise the whole exercise will have been a waste of time and resources.

Strategy implementation is the process that turns strategies and plans into actions in order to accomplish strategic objectives and goals. Implementing your strategic plan is as important, or even more important, than your strategy.

The critical actions move a strategic plan from a document that sits on the shelf to actions that drive business growth. The majority of organizations that have strategic plans fail to implement them. According to research, nine out of ten organizations fail to implement their strategic plan for mainly the following reasons:

- Sixty per cent of organizations don't link strategy to budgeting;
- Seventy-five per cent of organizations don't link employee incentives to strategy;
- Eighty-six per cent of business owners and managers spend less than one hour per month discussing strategy; and
- Ninety-five per cent of a typical workforce does not understand their organization's strategy

Strategy implementation is basically an **operational process** that requires both **co-ordination** among many individuals and **managing various forces** during action. The following actions drive strategy implementation.

A. Set the direction

The strategic direction is defined during the strategy formulation phase and captured in the strategic plan. A strategic plan provides the roadmap to pursue a specific strategic direction by setting performance goals, defining how customer value will be delivered and what needs to be done to be successful. A strategic plan template is attached as Annex C.

B. Translate strategy into action

Translation of strategy into action consists of:

- Defining the **body of work** by identifying key performance indicators, outputs to be delivered, targets and milestones that will deliver the strategy. This is captured in the format of a work programme. A work programme template is attached as Annex D.
- Defining the **method of work** by developing a value chain at conceptual and operational levels, including defining the quality management process that describes how customer value will be delivered. An example of a CRVS value chain is attached as Annex A.
- Defining the **organization of work** by designing an organizational structure and establishment that implement the strategy.

Operationalize the strategy

To Operationalize the strategy, the following activities should be conducted:

- *Work planning*: Compilation of the operational plan by defining the input, processes and outputs.
- *Resource planning*: Identifying what human and other resources are required and how those resources should be deployed and developed to create the competences needed to deliver the strategy
- *Financial planning*: Compilation of the budget outlines the funding required to implement the strategy.
- *Risk planning*: Identifying the operational risks and developing control and mitigating actions in response to those risks.

Manage strategic change

Strategic change builds on four underlying premises:

- *Leadership and management*: A successful implementation plan will have a visible leader that communicates the vision, creates excitement and demonstrates the behaviour necessary for achievement of the strategy. The leader will guide and direct strategic choices to ensure the organization achieve its strategic goals and objectives.

Management requires tracking and monitoring the progress and performance against set targets and goals.

- *Communicating the strategy*: Powerfully communicating the essence of your strategy at every level of the organization using multiple mediums is a key element. Discussions need to occur at each level, translating the organization's strategy into understandable and contextualized sound bites, which connect to the work of individuals.

In short, communicating the strategy provides the “connective tissue” throughout the organization that helps people to understand the big picture. Do not expect posters to do the job. Use internal blogs and message boards, brown bag luncheons, podcasts, and department meetings to communicate what the strategy is and how everybody’s work is informed by that strategy. Critical to the successful implementation of the strategy is for all staff to know, understand and commit to the implementation of the strategic change.

- *Cascading the strategy:* Strategy implementation should become part of the organization’s day-to-day operations. Involve your managers in this process, in order to translate the elements of the strategy to their own functional areas. Doing this allows them to develop and own the process of cascading the strategy and designing implementation plans with a high likelihood of execution. Secondly, cascading involves assigning individuals to tasks and timelines to ensure that all people work towards the same goals and targets. Performance measurement tools are helpful to provide motivation and allow for follow-up.
- *Managing change:* The greatest challenge facing implementation of the CRVS will be getting its stakeholders to change the way they do their work. Accordingly, implementing the plan will require putting in place change management practices. Change management must address the powerful influence of the paradigm shift and impact on the culture of the organization. Resistance to change may hamper the implementation of the strategy.

Strategy implementation involves all those means related to executing the strategic plans. In short, strategy implementation:

- Requires **managing forces during the action**
- Emphasizes on **efficiency**
- Is basically an **operational process**
- Requires **coordination** among many individuals
- Requires specific **motivational and leadership traits**.

VI. Phase IV: Strategy review

It is important to periodically review a strategy by tracking the progress and effectiveness of the strategy to ensure that it is on course and relevant. This is done through monitoring and reporting.

A. Monitoring and reporting

Monitoring is a function in which data on specified indicators is regularly and systematically collected to determine whether a policy, programme or project is running as originally intended or not. The purpose is to enable management to intervene so that the policy, programme or project can remain on track. Thus, monitoring regularly gives indications on the extent of progress made and achievement of objectives.

Monitoring is a continuous process designed to ensure that the implementation of the strategy remains on course; that management are alerted to any problems or potential problems such as deviations or failures in the implementation process before they reach crisis proportions; and that corrective actions are proposed to ensure that performance remains focused on the strategy by tracking inputs, activities (or processes) and outputs. The process involves collecting data on specified indicators regularly and systematically to determine that the strategy is being implemented as originally intended; otherwise management should intervene so that implementation remains on track.

Reporting is a dominant part of the dissemination link in the value chain because it is the primary mechanism for formally accounting the performance of the CRVS process. Reporting on both financial and non-financial performance is important in measuring the performance of Government institutions. While financial information (expenditure and revenue) is critical for determining the costs and efficiencies of programmes, non-financial information is equally important for assessing progress towards predetermined service delivery or performance targets.

Performance information allows for a results-based management approach, where results or performance can be measured in order to recognize success and failure, and to adjust the strategy accordingly. Measuring performance is important to ensure that, among others:

- The public gets value for money;
- Funding relates to measurable results;
- Policy, planning, budgeting and reporting are aligned to get better service delivery;
- Information is used strategically to improve public policy and funding choices, and to enable accountability; and
- Political oversight is enhanced and focus is on key priorities.

This guide outlines three levels of reporting:

- (a) Quarterly reporting
- (b) Annual reporting
- (c) End-of-term reporting

Quarterly reporting

Quarterly performance reports provide progress on the implementation of the work programme in the previous quarter, with particular reference to monitoring delivery against quarterly performance targets. Consistency and alignment in performance information (objectives, performance indicators and targets) should be ensured in the quarterly report. Institutions should therefore ensure that the actual achievements of targets set in the work programme are reported in the quarterly reports.

Quarterly performance reporting plays an important role in the entire planning process. It allows for analysis of variances between initial plans and actual results. With this, quarterly performance reports function as an ‘early warning system’ by alerting departments to areas of weak performance, to potential problems, and to where remedial action is required. It is important that management ensures that when the quarterly performance is reported, it is supported by corroborative evidence (e.g. actual evidence of a report).

The quarterly report serves as a management tool and it is therefore important that management takes action and corrective steps where targets have not been achieved or have been delayed. It also serves as an oversight tool to Ministers and other stakeholders. Quarterly performance reporting is one of the reporting mechanisms used as part of monitoring and evaluation.

Annual reporting

The purpose of the annual report is to provide information on the performance of the institution in the preceding financial year for the purposes of oversight. The annual report looks at the performance relative to the targets set in the work programme. It reveals how the budget was implemented and how it achieved the objectives and targets set out in the work programme and strategic plan.

Annual reports serve as a management tool and it is important that management ensures that an actual performance reported is supported by corroborative evidence (e.g. actual evidence of a report). Management must take action and corrective steps where targets (as outlined in the work programme) have not been achieved. Recommendations emerging from the annual report should feed into the review and planning of the work programme for the following year.

Annual performance reporting is one of the reporting mechanisms used as part of monitoring and evaluation.

End-of-term reporting

The purpose of the end-of-term report is to provide information on the overall progress made with the implementation of the strategic plan at the end of the period covered by the strategic plan.

The end-of-term report is an important part of the strategic planning process as it forms the baseline of the next strategic plan.

B. Evaluation

Unlike monitoring, an evaluation is not a regular process, as it is undertaken at specific milestones or after the completion of a project, programme or policy. It provides an objective assessment of the project, programme or policy in order to determine its relevance,

effectiveness, efficiency and impact. In a development context, evaluation reaches beyond the traditional assessment of the worthiness or significance of a project, programme or policy in terms of inputs, activities (process) and outputs, to incorporate development results in terms of outcomes and impact.

The objective of an evaluation is to extract lessons from what has gone or is going on in order to learn to do things better from then on, or the next time around. It identifies what works best, the factors for failure or success, and how to apply the lessons learned to improve design and performance in the future. Evaluation is essentially a research activity that makes use of information generated both from monitoring and from sources external to the project, programme or policy.

Evaluation is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision-making. It may assess relevance, efficiency, effectiveness, impact and sustainability.

Evaluations are primarily used for the following reasons:

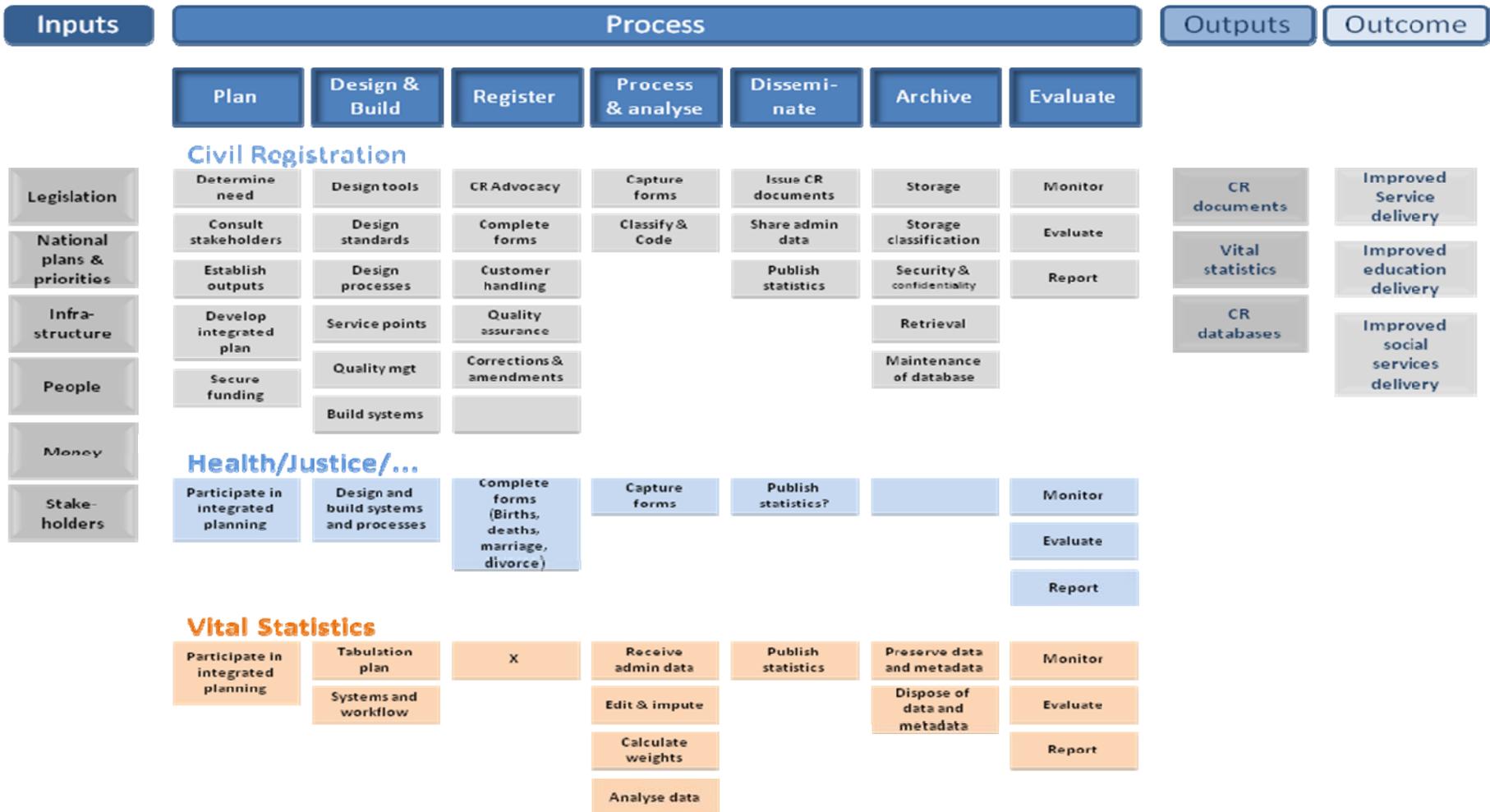
- Improving future performance of the CRVS system;
- Improving accountability and transparency;
- Generating knowledge about what works and what does not;
- Improving decision-making; and
- Assessing whether the strategic plan has achieved the intended impact.

This guide proposes an independent evaluation of the CRVS programme and should cover the following areas:

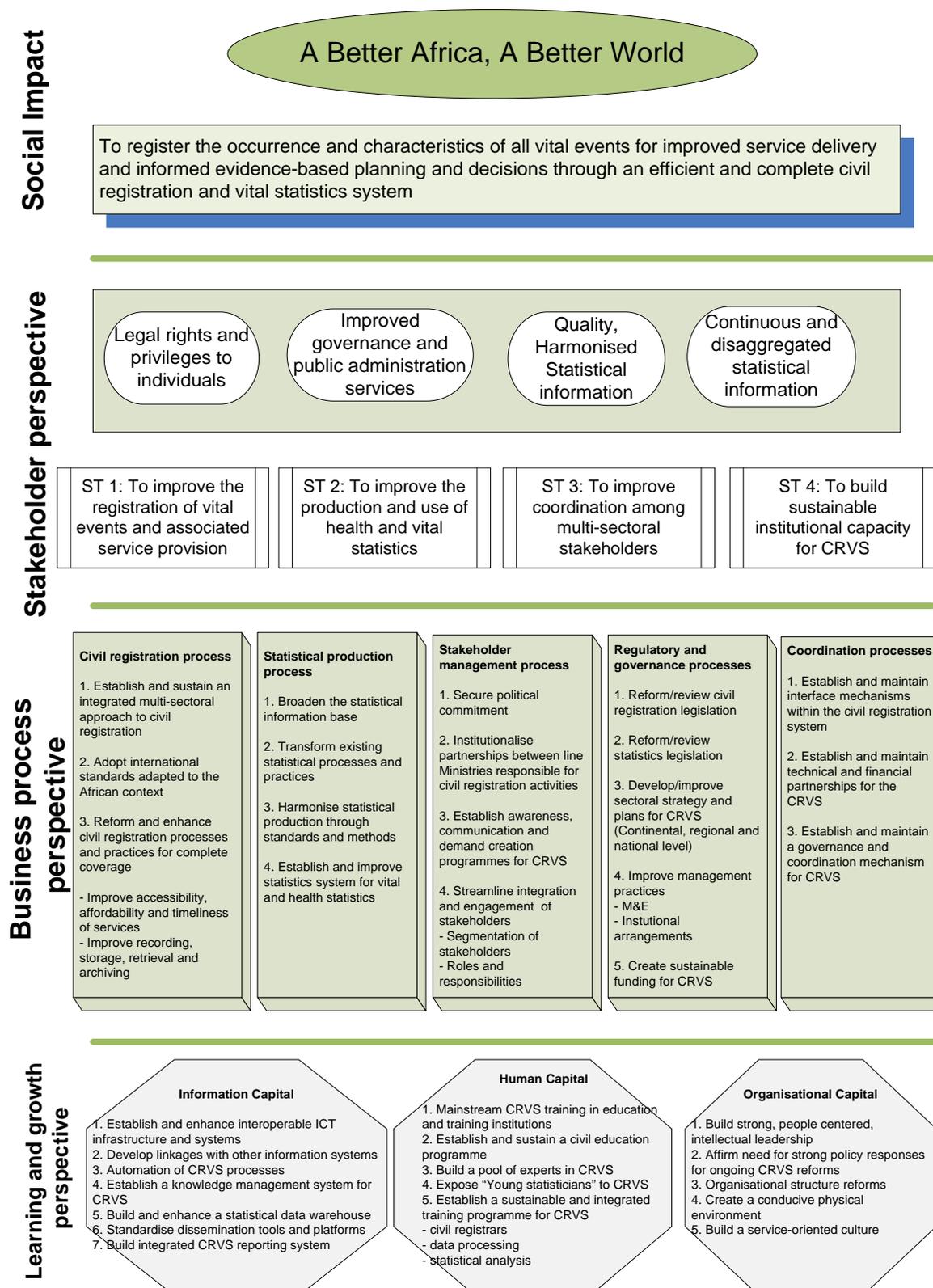
- *Relevance*: To what extent are the CRVS programme's objectives pertinent in relation to the evolving needs and priorities of Government?
- *Efficiency*: How, economically, have the various resource inputs been converted into tangible goods and services and results?
- *Effectiveness*: To what extent have the outcomes been achieved? Have the outputs of the CRVS programme contributed to achieving its intended outcomes and impact? Was this due to the intervention in question?
- *Utility*: Why were the outcomes and impacts achieved, or not achieved? How do the results of the programme compare with the needs of the stakeholders?
- *Sustainability*: To what extent can positive changes be expected to last after the programme has been terminated?

Annex A. Civil registration and vital statistics value chain

CIVIL REGISTRATION AND VITAL STATISTICS VALUE CHAIN



Annex B. Example of a civil registration and vital statistics strategy map



Annex C. Template for strategic plan

Section A: Strategic overview

1. Introduction
2. Background
3. Purpose of the strategic plan
 - *State why the plan was developed.*
 - *Describe the activities and processes followed to develop the strategic plan including stakeholders consulted.*
4. Legislative mandates
 - *State the name of the relevant acts and outline the key responsibilities of the different institutions involved in the project.*
5. Situation analysis
 - *Present the results of the strategy analysis phase in relation to findings in the external and internal environment. It is important to summarize the service delivery environment including the demand for services and the nature of the challenges to address. Describe where you are now; what the issues and bottlenecks are; and what opportunities and threats exist.*
6. Problem statement
 - *Conclude section A by summarizing or synthesizing the overall problem the strategic plan aims to address and thereby defining the rationale for change.*

Section B: Strategic direction

7. Strategic shift
 - *Discuss in response to the problem statement the paradigm shift required to drive a new strategic direction for CRVS.*
8. Vision
 - *State the vision of the CRVS project.*

9. Mission

- *State the mission of the CRVS project.*

10. Values

- *List and describe values.*

11. Strategic outcomes

- *State the strategic outcomes (what you wish to achieve).*

12. Strategic goals

- *State long-term overall strategic goal(s) (what will drive the strategy).*

13. Strategic objectives

- *This section covers the strategic objectives identified to achieve the strategic outcomes and goals.*

14. Strategic intent

- *Summarize the strategic intent for each strategic objective in the short, medium-and long term.*

15. Critical success factors

- *List and describe the critical success factors.*

16. Strategic risks

- *List the five key risks that may affect realization of the strategic objectives and outline the mitigation strategy.*

Strategic risk	Impact of risk on outcome	Risk management strategy
1.		
2.		
3.		
4.		
5.		

17. Resource considerations

- *Describe funding environment and requirements to realize the strategic objectives.*
- *Describe human resource environment and requirements to realize the strategic objectives.*
- *Describe physical environment and requirements to realize the strategic objectives.*
- *Describe technology environment and requirements to realize the strategic objectives.*

Section C: Strategy implementation and action plan

18. Purpose of the strategy implementation and action plan

19. Strategic objective and subobjectives

- *Discuss strategic intent in detail for each strategic objective.*
- *State the subobjectives under each strategic objective and responsible entity.*

Strategic objective	Subobjective statement	Entity
1.	1.1	
	1.2	
	1.3	
	1.4	

20. Five-year improvement plan

- *Outline interventions and projects on a five-year horizon.*
- *Outline the changes and improvements that will drive the strategy in the next five years.*
- *This is not business-as-usual.*

Subobjective	Year 1	Year 2	Year 3	Year 4	Year 5
1.1					
1.2					

21. Strategy map

- *Include the strategy map that summarizes the CRVS strategy.*

22. Monitoring, reporting and evaluation

- *Describe who and how the strategic plan will be monitored and reported on. Outline when the plan will be reviewed and outcomes evaluated.*

23. Conclusion

- *Consolidation of the strategic plan:*
 - *e.g. the central tenet of this plan ...*
 - *The overall strategic intent is to ...*
 - *Critical to the success of this plan ...*

This strategic plan is supported by the work programme of the different agencies that outlines the outputs and milestones towards achieving the vision and mission.

Annex D. Template for the work programme

(Every entity should develop its own work programme in line with the CRVS strategic plan).

Section A: Strategic overview

1. Introduction
2. Background
3. Purpose of the work programme
 - *State why the work programme is being compiled.*
4. Legislative mandates
 - *State the name of the relevant acts referring to the operations of the entity.*
5. Strategic direction (strategy in brief)
 - *State vision, mission and values.*
 - *Strategic outcomes and goals.*
 - *Strategic objectives.*
 - *Critical success factors (emphasize CSF relating to entity).*
 - *Core competencies (emphasize competencies relating to entity).*
 - *Strategic risks (emphasize risk relating to entity).*
6. Strategy map
 - *Include the strategy map that summarizes the CRVS strategy.*
7. Situation analysis
 - *Describe situation (external and internal) relevant to the entity but within the context of the CRVS:*
 - *Performance delivery environment*
 - *Organizational environment*
 - *Revisions to legislative mandates*

Section B: Annual performance plan

The preceding section has focused on the strategic review and situation analysis. This section outlines the plans for the forthcoming financial year and over the medium term.

The annual performance plan sets out performance indicators and targets to achieve the goals and objectives of the CRVS strategic plan. All activities in the entity relating to the CRVS should be aligned to the strategic objectives to ensure effective implementation.

The work programme should be updated annually.

8. Value chain

- *Include the value chain that illustrates the CRVS system.*

9. Performance plan

- *This part is used to set performance targets for each strategic objective identified in the strategic plan. Performance indicators should be identified that will facilitate the assessment of the overall performance of objective, including issues of value for money in relation to the use of resources.*

The tables below should be completed for each strategic objective:

Strategic outcome:	
Strategic goal:	
Strategic objective:	1.
Subobjective:	1.1 1.2 ...

Strategic objectives (and subobjectives) must link back to one or more strategic outcomes and goals.

Key initiatives and developments to improve:

Describe the initiatives and improvements - detailed description of the strategic intent.

- xxx
- xxx

Annual targets:

1. Strategic objective:				
Subobjective	Performance indicator	Year 1 (outputs)	Year 2 (outputs)	Year 3 (outputs)
1.1	<i>E.g. Number and timeliness of reports on ...</i>	<i>E.g. Two research reports on birth registration by May 2014.</i>		
1.2	<i>Percentage ...</i>			

Quarterly targets: (entities may consider defining quarterly targets for Year 1)

1.1 Subobjective:						
Performance indicator	Reporting period	Annual target	Quarter 1	Quarter 2	Quarter 3	Quarter 4

10. Risk plan

- *Include strategic and operational risks and plans to mitigate risks relating to the entity.*

11. Resource requirements

11.1 Human resource management

- *Description of the human resource environment and requirements.*
- *Include structure.*
- *Include establishment.*

11.2 Financial management

- *Description of the financial environment and requirements.*
- *Describe expenditure trends.*
- *Include expenditure estimates (budget required to implement work programme) - according to country's financial framework.*
- *Describe impact.*

11.3 Infrastructure

- *Description of the technological environment and requirements.*
- *Description of physical environment.*

12. Monitoring and evaluation

- *Describe evidence-based monitoring and reporting process. How often, who and how?*
- *Describe when the strategy will be reviewed and how often the work programme will be updated.*
- *Describe when the strategy and work programme will be evaluated.*

13. Conclusion

Consolidation of the work programme:

- *E.g. The central tenet of this plan ...*
- *The overall strategic intent is to ...*
- *Critical to the success of this plan ...*

Annex E. Template for quarterly and annual reporting

Every entity should compile its own annual and quarterly performance reports. The CRVS project manager should integrate across entities to get an overall integrated view of progress. This integrated report should be presented annually to the relevant Executive Authority and Parliament.

Section A: Annual performance reports

The purpose of the annual performance report is to provide information on the overall progress made with the implementation of an institution's work programme and strategic plan on an annual basis. Institutions should ensure that the total for the four quarters is similar to the information that will be reported in the annual report for a particular financial year.

Reporting in the annual performance report should be twofold.

- Firstly, it should report on the progress made in that specific year on each strategic and subobjective as outlined in the strategic plan indicated below.

Strategic objective:					
Subobjective	Year 1	Year 2	Year 3	Year 4	Year 5
1.1					
1.2					

- Secondly, it should report on the actual performance against targets as set out in the work programme. Below is the table that is included in the work programme:

Annual targets:

1. Strategic objective:				
Subobjective	Performance indicator	Year 1 (outputs)	Year 2 (outputs)	Year 3 (outputs)
1.1	<i>E.g. Number and timeliness of reports on ...</i>	<i>E.g. Two research reports on birth registration by May 2014.</i>		

1.2	<i>Percentage ...</i>			

Below is an example of an annual performance report table to ensure alignment to the above table in the work programme, focusing on Year 1.

Annual performance report:

1. Strategic objective:				
Subobjective	Performance indicator	Year 1 (target)	Actual performance	Reason for deviation and corrective action
1.1	<i>E.g. Number and timeliness of reports on ...</i>	<i>E.g. Two research reports on birth registration by May 2014.</i>	<i>E.g. Achieved. Two research reports were compiled as scheduled.</i>	
1.2	<i>Percentage ...</i>			

It is recommended that standardized legends are used to report on the status at the end of the financial year:

- (a) Achieved
- (b) Not achieved
- (c) Discontinued

Reasons for delays and non-achievement should be reported and what corrective action has been taken or will be taken.

Section B: Quarterly performance reports

Quarterly performance reports are based on the quarterly targets set in the work programme. The purpose of quarterly performance reports is to provide information on the overall progress made with the implementation of an institution’s work programme, on a quarterly and annual basis. Institutions should ensure that the total for the four quarters is similar to the information that will be reported in the annual report for a particular financial year. Although changes to planned targets should not be made in the quarterly performance report, it is acknowledged that validations and revisions of reported numbers may be necessary in some cases.

Below is the table included in the work programme for setting quarterly targets.

Quarterly targets: (entities may consider defining quarterly targets for Year 1)

1.1 Subobjective:						
Performance indicator	Reporting period	Annual target	Quarter 1	Quarter 2	Quarter 3	Quarter 4

Quarterly reports should be based on the above table in the work programme. Below is the table to facilitate quarterly reporting.

Quarterly performance report:

1.1 Subobjective:						
Performance indicator	Reporting period	Annual target	Quarter 1 (target)	Actual performance	Reason for deviation	Corrective action
1.1 Subobjective:						
Performance indicator	Reporting period	Annual target	Quarter 2 (target)	Actual performance	Reason for deviation	Corrective action
1.1 Subobjective:						
Performance indicator	Reporting period	Annual target	Quarter 3 (target)	Actual performance	Reason for deviation	Corrective action

1.1 Subobjective:						
Performance indicator	Reporting period	Annual target	Quarter 4 (target)	Actual performance	Reason for deviation	Corrective action

It is recommended that standardized legends are used to report on the status:

- (a) Achieved
- (b) Delayed
- (c) In progress or on track
- (d) Not achieved
- (e) Discontinued

Reasons for delays and non-achievement should be reported and what corrective action has been taken or will be taken.

Section C: End-of-term report

An end-of-term report must be compiled to report on the achievements and overall progress made with the implementation of the strategic plan at the end of the period covered by the strategic plan.

The review should follow the format of the strategic plan, but in specific reporting on the subobjectives as outlined in the table below:

Strategic objective:					
Subobjective	Year 1	Year 2	Year 3	Year 4	Year 5
1.1					
1.2					

The report should:

- Include a narrative on the key strategic initiatives that were implemented over the past five years;
- Cover the barriers or challenges experienced in achieving its objectives;
- Cover the extent to which it has succeeded in achieving each of the strategic outcomes, goals and objectives that was set at the beginning of the five-year period; and
- Include any other evaluations conducted during the period.